

GOVERNANCE & COMPLIANCE | COURSE BROCHURE

Regulatory Compliance in Banking

5 days | Classroom training | English

SMART HORIZON

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Explore current programmes

https://smarthorizon.uk



Course content

Why attend

Banks operate under extensive regulation covering capital, liquidity, conduct, consumer protection, financial crime, data and operational resilience. This course provides an overview of the banking regulatory landscape and practical compliance management, including regulatory change, compliance monitoring, conduct risk and regulator relationships.

Regulatory expectations for banks continue to rise. This course helps compliance and business professionals understand obligations and manage them effectively.

Professional Problems This Course Is Designed to Solve

• Difficulty translating subject knowledge into practical workplace decisions.
• Inconsistent approaches to the activities covered in the course outline.
• Lack of a structured plan for applying and reviewing new skills.

Course methodology

The course uses case studies of enforcement actions, regulatory mapping exercises, monitoring plan workshops and discussions.

Course objectives

By the end of this course, participants will be able to:
• Explain the banking regulatory landscape
• Understand prudential and conduct regulation
• Manage regulatory change
• Build compliance monitoring programmes
• Manage conduct risk and customer outcomes
• Engage effectively with regulators

Target audience

This course is suitable for:
• Compliance professionals in banks
• Risk managers
• Legal professionals
• Bank managers
• Internal auditors



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Target competencies

Participants will develop competencies in:

- Regulatory mapping
- Prudential awareness
- Conduct risk
- Regulatory change management
- Compliance monitoring
- Regulator engagement

Course outline

Day 1: Banking Regulation Overview

09:00–09:54	Why banks are regulated
09:54–10:48	Regulators and frameworks
10:48–11:00	Prudential and conduct regulation
11:00–11:30	**Coffee break**
11:30–12:12	Prudential and conduct regulation (continued)
12:12–13:06	Recent developments
13:06–14:00	Exercise: Regulatory map

Day 2: Prudential Requirements

09:00–09:54	Capital and liquidity basics
09:54–10:48	Risk management requirements
10:48–11:00	Governance expectations
11:00–11:30	**Coffee break**
11:30–12:12	Governance expectations (continued)
12:12–13:06	Reporting
13:06–14:00	Case study: Prudential breach



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Day 3: Conduct and Consumer Protection

09:00–09:54	Conduct risk
09:54–10:48	Fair treatment of customers
10:48–11:00	Product governance
11:00–11:30	**Coffee break**
11:30–12:12	Product governance (continued)
12:12–13:06	Complaints
13:06–14:00	Workshop: Conduct risk assessment

Day 4: Compliance Management

09:00–09:54	Regulatory change process
09:54–10:48	Compliance monitoring
10:48–11:00	Breach management
11:00–11:30	**Coffee break**
11:30–12:12	Breach management (continued)
12:12–13:06	Financial crime links
13:06–14:00	Exercise: Monitoring plan

Day 5: Regulator Relationships

09:00–09:54	Supervisory approach
09:54–10:48	Inspections
10:48–11:00	Remediation
11:00–11:30	**Coffee break**
11:30–12:12	Remediation (continued)
12:12–13:06	Culture and accountability
13:06–14:00	Capstone: Compliance plan

The timings provided are estimates and may vary depending on the number of participants and the discussions taking place during the



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sessions. They are indicative only and do not constitute a binding commitment.

Dates, venues and fees

Current published course plans. Fees are per participant in GBP, excluding unconfirmed taxes.

Venue	Start date	End date	Fee (GBP)
Dubai Confirmed dates	9 Nov 2026	13 Nov 2026	**£3,150.–**
Online Confirmed dates	9 Nov 2026	13 Nov 2026	**£1,250.–**
Frankfurt Confirmed dates	23 Nov 2026	27 Nov 2026	**£2,650.–**
Online Confirmed dates	23 Nov 2026	27 Nov 2026	**£1,250.–**
Kuala Lumpur Confirmed dates	7 Dec 2026	11 Dec 2026	**£1,450.–**
Online Confirmed dates	7 Dec 2026	11 Dec 2026	**£1,250.–**
Paris Confirmed dates	14 Dec 2026	18 Dec 2026	**£2,860.–**
Online Confirmed dates	14 Dec 2026	18 Dec 2026	**£1,250.–**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Istanbul Confirmed dates	11 Jan 2027	15 Jan 2027	**£2,650.-**
Online Confirmed dates	11 Jan 2027	15 Jan 2027	**£1,250.-**
Amsterdam Confirmed dates	25 Jan 2027	29 Jan 2027	**£2,540.-**
Online Confirmed dates	25 Jan 2027	29 Jan 2027	**£1,250.-**
Rome Confirmed dates	1 Feb 2027	5 Feb 2027	**£2,450.-**
Online Confirmed dates	1 Feb 2027	5 Feb 2027	**£1,250.-**
Singapore Confirmed dates	8 Feb 2027	12 Feb 2027	**£2,820.-**
Online Confirmed dates	8 Feb 2027	12 Feb 2027	**£1,250.-**
London Confirmed dates	22 Feb 2027	26 Feb 2027	**£2,450.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	22 Feb 2027	26 Feb 2027	**£1,250.–**
Dubai Confirmed dates	8 Mar 2027	12 Mar 2027	**£3,150.–**
Online Confirmed dates	8 Mar 2027	12 Mar 2027	**£1,250.–**
Frankfurt Confirmed dates	22 Mar 2027	26 Mar 2027	**£2,650.–**
Online Confirmed dates	22 Mar 2027	26 Mar 2027	**£1,250.–**
Cape Town Confirmed dates	5 Apr 2027	9 Apr 2027	**£1,890.–**
Online Confirmed dates	5 Apr 2027	9 Apr 2027	**£1,250.–**
Kuala Lumpur Confirmed dates	12 Apr 2027	16 Apr 2027	**£1,450.–**
Online Confirmed dates	12 Apr 2027	16 Apr 2027	**£1,250.–**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Paris Confirmed dates	26 Apr 2027	30 Apr 2027	**£2,860.-**
Online Confirmed dates	26 Apr 2027	30 Apr 2027	**£1,250.-**
Istanbul Confirmed dates	10 May 2027	14 May 2027	**£2,650.-**
Online Confirmed dates	10 May 2027	14 May 2027	**£1,250.-**
Amsterdam Confirmed dates	24 May 2027	28 May 2027	**£2,540.-**
Online Confirmed dates	24 May 2027	28 May 2027	**£1,250.-**
Vienna Confirmed dates	31 May 2027	4 Jun 2027	**£2,940.-**
Online Confirmed dates	31 May 2027	4 Jun 2027	**£1,250.-**
Singapore Confirmed dates	14 Jun 2027	18 Jun 2027	**£2,820.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	14 Jun 2027	18 Jun 2027	**£1,250.–**
London Confirmed dates	21 Jun 2027	25 Jun 2027	**£2,450.–**
Online Confirmed dates	21 Jun 2027	25 Jun 2027	**£1,250.–**
Dubai Confirmed dates	12 Jul 2027	16 Jul 2027	**£3,150.–**
Online Confirmed dates	12 Jul 2027	16 Jul 2027	**£1,250.–**
Frankfurt Confirmed dates	26 Jul 2027	30 Jul 2027	**£2,650.–**
Online Confirmed dates	26 Jul 2027	30 Jul 2027	**£1,250.–**
Cape Town Confirmed dates	2 Aug 2027	6 Aug 2027	**£1,890.–**
Online Confirmed dates	2 Aug 2027	6 Aug 2027	**£1,250.–**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Kuala Lumpur Confirmed dates	9 Aug 2027	13 Aug 2027	**£1,450.-**
Online Confirmed dates	9 Aug 2027	13 Aug 2027	**£1,250.-**
Paris Confirmed dates	23 Aug 2027	27 Aug 2027	**£2,860.-**
Online Confirmed dates	23 Aug 2027	27 Aug 2027	**£1,250.-**
Istanbul Confirmed dates	13 Sept 2027	17 Sept 2027	**£2,650.-**
Online Confirmed dates	13 Sept 2027	17 Sept 2027	**£1,250.-**
Amsterdam Confirmed dates	20 Sept 2027	24 Sept 2027	**£2,540.-**
Online Confirmed dates	20 Sept 2027	24 Sept 2027	**£1,250.-**
Rome Confirmed dates	4 Oct 2027	8 Oct 2027	**£2,450.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	4 Oct 2027	8 Oct 2027	**£1,250.–**
Singapore Confirmed dates	11 Oct 2027	15 Oct 2027	**£2,820.–**
Online Confirmed dates	11 Oct 2027	15 Oct 2027	**£1,250.–**
London Confirmed dates	25 Oct 2027	29 Oct 2027	**£2,450.–**
Online Confirmed dates	25 Oct 2027	29 Oct 2027	**£1,250.–**
Dubai Confirmed dates	8 Nov 2027	12 Nov 2027	**£3,150.–**
Online Confirmed dates	8 Nov 2027	12 Nov 2027	**£1,250.–**
Frankfurt Confirmed dates	22 Nov 2027	26 Nov 2027	**£2,650.–**
Online Confirmed dates	22 Nov 2027	26 Nov 2027	**£1,250.–**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Barcelona Confirmed dates	29 Nov 2027	3 Dec 2027	**£2,840.–**
Online Confirmed dates	29 Nov 2027	3 Dec 2027	**£1,250.–**
Kuala Lumpur Confirmed dates	6 Dec 2027	10 Dec 2027	**£1,450.–**
Online Confirmed dates	6 Dec 2027	10 Dec 2027	**£1,250.–**
Paris Confirmed dates	13 Dec 2027	17 Dec 2027	**£2,860.–**
Online Confirmed dates	13 Dec 2027	17 Dec 2027	**£1,250.–**



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Plan your next step

Dates, availability, exact venue, taxes, inclusions and payment terms require written confirmation. This brochure is not a quotation, registration, booking confirmation or visa invitation. Participants receive a Smart Horizon UK certificate of attendance; programmes are not externally accredited and do not award a professional qualification or designation. Confirm arrangements before booking travel.

For group or in-house training, contact our learning team to discuss your objectives and delivery arrangements.

Contact Smart Horizon

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View the latest course details online